Edgar Filing: APPLIED GENETIC TECHNOLOGIES CORP - Form 4

APPLIED GENETIC TECHNOLOGIES CORP

Form 4 May 26, 2016

FORM 4

OMB APPROVAL UNITED STATES SECURITIES AND EXCHANGE COMMISSION **OMB**

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Form 5 obligations may continue. See Instruction

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

Chulay Jeffrey D.

2. Issuer Name and Ticker or Trading

Symbol

APPLIED GENETIC

TECHNOLOGIES CORP [AGTC]

3. Date of Earliest Transaction

05/11/2016

5. Relationship of Reporting Person(s) to

Number:

Expires:

response...

Estimated average

burden hours per

Issuer

(Check all applicable)

(Last) (First) (Middle)

(Month/Day/Year)

Director 10% Owner X_ Officer (give title Other (specify

below) VP and Chief Medical Officer

TECHNOLOGIES CORP., 14193 NW 119TH TERRACE, SUITE #10

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

3.

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

ALACHUA, FL 32615

C/O APPLIED GENETIC

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

(Month/Day/Year) Execution Date, if

2. Transaction Date 2A. Deemed

(Month/Day/Year)

TransactionAcquired (A) or Code (Instr. 8)

Disposed of (D) (Instr. 3, 4 and 5)

4. Securities

5. Amount of Securities Beneficially Owned Following Reported

Transaction(s)

Form: Direct (D) or Indirect (I) (Instr. 4)

Indirect Beneficial Ownership (Instr. 4)

(9-02)

6. Ownership 7. Nature of

3235-0287

January 31,

2005

0.5

(A)

(Instr. 3 and 4) Price

Common Stock

05/11/2016

Code V Amount (D) 4,000

9.900

D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number on Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8 I S
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (right to buy)	\$ 3.5	05/11/2016		M	4,000	<u>(1)</u>	05/31/2017	Common Stock	8,028	

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Chulay Jeffrey D. C/O APPLIED GENETIC TECHNOLOGIES CORP. 14193 NW 119TH TERRACE, SUITE #10 ALACHUA, FL 32615

VP and Chief Medical Officer

De Sec (In

Signatures

/s/ Hemmie Chang, attorney-in-fact for Jeffrey D.
Chulay

05/26/2016

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- $\textbf{(1)} \quad \text{The option, representing a right to purchase a total of 8,028 shares, is fully-vested and exercisable for 100\% of the underlying shares.}$

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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